

U.S. Department of Education
National Center for Education Statistics
Washington, D.C. 20208-5653

NATIONAL ASSESSMENT OF EDUCATIONAL PROGRESS SECONDARY ANALYSIS GRANT PROGRAM

General Competition
CFDA Number: 84.902B

FORM APPROVED
OMB No. 1850-0662, Exp. Date 10/31/2002



DATED MATERIAL – OPEN IMMEDIATELY

CLOSING DATE: March 8, 2002

**2002 APPLICATION FOR GRANTS
UNDER THE
NATIONAL ASSESSMENT OF EDUCATIONAL PROGRESS
SECONDARY ANALYSIS PROGRAM**

TABLE OF CONTENTS

<u>SUBJECT</u>	<u>PAGE</u>
Notice to All Applicants	1
Dear Colleague Letter	3
Notice Inviting Applications for New Awards	4
Application Transmittal Instructions	10
Evaluation Criteria	11
Application Narrative	13
Application Forms and Instructions	
Part I - Federal Assistance Face Sheet	14
Part II - Budget Data	19
Assurances	22
Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements	24
Certification Regarding Debarment, Suspension Ineligibility and Voluntary Exclusion Lower Tier Covered Transactions	26
Disclosure of Lobbying Activities	27
Important Notice to Prospective Participants	30

NOTICE TO ALL APPLICANTS

Thank you for your interest in this program. The purpose of this enclosure is to inform you about a new provision in the Department of Education's General Education Provisions Act (GEPA) that applies to applicants for new grant awards under Department programs. This provision is section 427 of GEPA, enacted as part of the Improving America's Schools Act of 1994 (Pub. L. 103-382).

To Whom Does This Provision Apply?

Section 427 of GEPA affects applicants for new discretionary grant awards under this program. ALL APPLICANTS FOR NEW AWARDS MUST INCLUDE INFORMATION IN THEIR APPLICATIONS TO ADDRESS THIS NEW PROVISION IN ORDER TO RECEIVE FUNDING UNDER THIS PROGRAM.

What Does This Provision Require?

Section 427 requires each applicant for funds (other than an individual person) to include in its application a description of the steps the applicant proposes to take to ensure equitable access to, and participation in, its federally assisted program for students, teachers, and other program beneficiaries with special needs.

This section allows applicants discretion in developing the required description. The statute highlights six types of barriers that can impede equitable access or participation that you may address: gender, race, national origin, color, disability, or age. Based on local circumstances, you can determine whether these or other barriers may prevent your students, teachers, etc. from equitable access or participation. Your description need not be lengthy; you may provide a clear and succinct description of how you plan to address those barriers that are applicable to your circumstances. In addition, the information may be provided in a single narrative, or, if appropriate, may be discussed in connection with related topics in the application.

Section 427 is not intended to duplicate the requirements of civil rights statutes, but rather to ensure that, in designing their projects, applicants for Federal funds address equity concerns that may affect the ability of certain potential beneficiaries to fully participate in the project and to achieve to high standards. Consistent with program requirements and its approved application, an applicant may use the Federal funds awarded to it to eliminate barriers it identifies.

What are Examples of How an Applicant Might Satisfy the Requirement of This Provision?

The following examples may help illustrate how an applicant may comply with section 427.

(1) An applicant that proposes to carry out an adult literacy project serving, among others, adults with limited English proficiency, might describe in its application how it intends to distribute a brochure about the proposed project to such potential participants in their native language.

(2) An applicant that proposes to develop instructional materials for classroom use might describe how it will make the materials available on audio tape or in braille for students who are blind.

(3) An applicant that proposes to carry out a model science program for secondary students and is concerned that girls may be less likely than boys to enroll in the course, might indicate how it intends to conduct "outreach" efforts to girls, to encourage their enrollment.

We recognize that many applicants may already be implementing effective steps to ensure equity of access and participation in their grant programs, and we appreciate your cooperation in responding to the requirements of this provision.

Paperwork Burden Statement

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1850-0662. The time required to complete this information collection is estimated to average 24 hours (or minutes) per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, D.C. 20202-4651.



U.S. DEPARTMENT OF EDUCATION
OFFICE OF EDUCATIONAL RESEARCH AND IMPROVEMENT

NATIONAL CENTER FOR EDUCATION STATISTICS

Dear Colleague:

Thank you for your interest in the National Assessment of Educational Progress (NAEP) Secondary Analysis Program (CFDA No: 84.902B). Enclosed is an application package containing the instructions and forms necessary to apply for a grant under this program.

Please review the enclosed materials and carefully follow the instructions for completing your grant application. Please be sure that your application complies with each requirement and is submitted by the closing date specified on the Notice Inviting Applications.

Proposed projects will be reviewed and ranked by a panel composed of experts with backgrounds in educational statistics, psychometrics, and primary and secondary education. It is anticipated that awards will be announced by May 1, 2002.

The Department of Education requires applicants to submit an original and two copies of a grant application. The Secretary reminds applicants to this program that their application narrative (Part III of the application) **may not exceed** 60 typed, double-spaced (**single sided**) pages, and the Secretary strongly advises that the total application not exceed 80 typed double-spaced pages, including appendices. Upon receipt of your application, the Department's Application Control Center will assign your organization an identification number, which will be entered on a postcard and returned to you. Please refer to this number in any future correspondence concerning your application.

If you have any questions or need additional information concerning the program or the application process, please contact the project officer, Alexandra Sedlacek at (202) 502-7446 or at alex.sedlacek@ed.gov.

Again, thank you for your interest in the analysis of NAEP and NAEP Transcript Study data.

Sincerely,

Gary W. Phillips, Ph.D.
Deputy Commissioner of Education Statistics

4000-01-U

DEPARTMENT OF EDUCATION

(CFDA No. 84.902B)

National Assessment of Educational Progress (NAEP)-- Secondary Analysis Program

Notice inviting applications for new awards for fiscal year (FY) 2002.

PURPOSE OF PROGRAM: To encourage the preparation of reports that would not otherwise be available and that apply new approaches to the analysis and reporting of the NAEP and NAEP High School Transcript Studies data. Analyses and reports prepared under this program should potentially be useful to the general public, parents, educators, educational researchers, or policy makers.

For FY 2002, the competition for new awards focuses on projects designed to meet the priorities we describe in the PRIORITIES section of this application notice.

ELIGIBLE APPLICANTS: Public or private organizations and consortia of organizations.

APPLICATIONS AVAILABLE: December 21, 2001.

The application package for this competition is also available on line at:

<http://ed.gov/GrantApps/>

DEADLINE FOR TRANSMITTAL OF APPLICATIONS: March 8, 2002.

ESTIMATED AVAILABLE FUNDS: \$700,000.

The estimated amount of funds available for new awards is based on the Administration's request for NAEP for FY 2002. The actual level of funding for the secondary analysis program, if any, depends on final congressional action. However, we are inviting applications to allow enough time to complete the grant process before the end of the fiscal year, if Congress appropriates funds for this program.

ESTIMATED RANGE OF AWARDS: \$15,000 - \$100,000.

ESTIMATED AVERAGE SIZE OF AWARDS: \$85,000.

MAXIMUM AWARD: We will reject any application that proposes a budget exceeding \$100,000 for a single budget period of 18 months.

ESTIMATED NUMBER OF AWARDS: 6-8.

Note: The Department is not bound by any estimates in this notice.

PROJECT PERIOD: Up to 18 months.

PAGE LIMIT: The application narrative (Part III of the application) is where you, the applicant, address the selection criteria that reviewers use to evaluate your application. You must limit Part III to the equivalent of no more than 60 pages, using the following standards:

- A page is 8.5" x 11", on one side only, with 1" margins at the top, bottom, and both sides.
- You must double space (no more than three lines per vertical inch) all text in the application narrative, including titles, headings, footnotes, quotations, references, and captions, as well as all text in charts, tables, figures, and graphs.
- Use a font that is either 12-point or larger or no smaller than 10 pitch (characters per inch).

The page limit does not apply to Part I, the cover sheet; Part II, the budget section, including the narrative budget justification; Part IV, the assurances and certifications; or the one-page abstract, the resumes, the bibliography, or the letters of support. However, you must include all of the application narrative in Part III.

We will reject your application if—

- You apply these standards and exceed the page limit; or
- You apply other standards and exceed the equivalent of the page limit.

APPLICABLE REGULATIONS: (a) The Education Department General Administrative Regulations (EDGAR) in 34 CFR parts 74, 75 (except for

those provisions of part 75 noted in 34 CFR 700.5(a)), 77, 80, 81, 82, 85, 86, 97, 98, and 99. (b) The regulations in 34 CFR part 700.

PRIORITIES:

Invitational Priorities:

We are particularly interested in applications that meet one or more of the invitational priorities listed in this section of this notice. Under 34 CFR 75.105(c)(1) we do not give an application that meets one or more of the priorities a competitive or absolute preference over other applications.

Invitational Priority 1 -- Projects that use NAEP achievement data alone or in combination with other data sets to assist policy makers and educators who make decisions about curriculum and instruction.

Invitational Priority 2 -- Projects designed to assist States in analyzing, interpreting and reporting their State-level NAEP results.

Invitational Priority 3 -- Projects that include the development of analytic procedures that improve precision with which NAEP estimates group and subgroup performance.

Invitational Priority 4 -- Projects that develop improved sampling procedures for national or State-level NAEP.

Invitational Priority 5 -- Projects to analyze and report data using statistical software developed by the project to permit more advanced analytic techniques to be readily applied to NAEP data.

FOR APPLICATIONS AND FURTHER INFORMATION CONTACT: Alex Sedlacek, U.S. Department of Education, 1990 K Street, NW., room 8007, Washington, DC 20006. Telephone: (202) 502-7446 or via Internet:

Alex.Sedlacek@ed.gov

If you use a telecommunications device for the deaf (TDD), you may call the Federal Information Relay Service (FIRS) at 1-800-877-8339.

Individuals with disabilities may obtain this document in an alternative format (e.g., Braille, large print, audiotape, or computer

diskette) on request to the program contact person listed under FOR APPLICATIONS AND FURTHER INFORMATION CONTACT.

Individuals with disabilities may obtain a copy of the application package in an alternative format by contacting the program person listed under FOR APPLICATIONS AND FURTHER INFORMATION CONTACT. However, the Department is not able to reproduce in an alternative format the standard forms included in the application package.

Electronic Access to This Document

You may view this document, as well as all other Department of Education documents published in the Federal Register, in text or Adobe Portable Document Format (PDF) on the Internet at the following site:

www.ed.gov/legislation/FedRegister

To use PDF you must have Adobe Acrobat Reader, which is available free at this site. If you have questions about using PDF, call the U.S. Government Printing Office (GPO), toll free, at 1-888-293-6498; or in the Washington, DC, area at (202) 512-1530.

Note: The official version of this document is the document published in the Federal Register. Free Internet access to the official edition of the Federal Register and the Code of Federal Regulations is available on GPO Access at:

<http://www.access.gpo.gov/nara/index.html>

PROGRAM AUTHORITY: 20 U.S.C. 9010.

Dated:

Grover J. Whitehurst,
Assistant Secretary for
Educational Research and Improvement.

APPLICATION TRANSMITTAL INSTRUCTIONS

An application for an award must be postmarked or hand delivered by the closing date.

Applications Sent by Mail

An application sent by mail must be addressed to the U.S. Department of Education, Application Control Center, Attention: CFDA 84.____(be sure to include the correct alpha and numeric description-e.g.) 400, Maryland Avenue, S.W., Washington, D.C. 20202-4725.

An application must show proof of mailing consisting of one of the following:

- (1) A legibly dated U.S. Postal Service Postmark
- (2) A legible mail receipt with the date of mailing stamped by the U.S. Postal Service
- (3) A dated shipping label, invoice, or receipt from a commercial carrier
- (4) Any other proof of mailing acceptable to the U.S. Secretary of Education

If an application is sent through the U.S. Postal Service, the Secretary does not accept either of the following as proof of mailing:

- (1) A private metered postmark, or
- (2) A mail receipt that is not dated by the U.S. Postal Service

An applicant should note that the U.S. Postal Service does not uniformly provide a dated postmark. Before relying on this method, an applicant should check with its local post office.

An applicant is encouraged to use registered or at least first class mail.

Each late applicant will be notified that its applications will not be considered.

Applications Delivered by Hand/Courier Service

An application that is hand delivered must be taken to the U.S. Department of Education, Application Control Center, Room 3633, General Services Administration National Capital Region, 7th and D Streets, S.W., Washington, D.C. 20202-4725.

The Application Control Center will accept deliveries between 8:00 a.m., and 4:30 p.m., (Washington, D.C. time) daily, except Saturdays, Sundays and Federal holidays.

Individuals delivering applications must use the D Street Entrance. Proper identification is necessary to enter the building.

In order for an application sent through a Courier Service to be considered timely, the Courier Service must be in receipt of the application on or before the closing date.

EVALUATION CRITERIA

The Secretary will use the following criteria to evaluate applications to this program in accordance with 34 C.F.R. 700.30. Weights have been assigned to each criterion indicating its relative importance in the evaluation process. The criteria are:

(1) *Quality of the project design.* (60)

- (i) The Secretary will consider the quality of the design of the proposed project.
- (ii) In determining the quality of the design of the proposed project, the Secretary will consider the following factors:
 - (a) Whether there is a conceptual framework underlying the proposed activities and the quality of that framework.
 - (b) Whether a specific research design has been proposed, and the quality and appropriateness of that design, including the scientific rigor of the studies involved.
 - (c) The extent to which the research design includes a thorough, high-quality review of the relevant literature, a high-quality plan for research activities, and the use of appropriate theoretical and methodological tools, including those of a variety of disciplines, where appropriate.
 - (d) The quality of the demonstration design and procedures for documenting project activities and results.

(2) *Quality and potential contributions of personnel.* (15)

- (i) The Secretary considers the quality and potential contributions of personnel for the proposed project.
- (ii) In determining the quality and potential contributions of personnel for the proposed project, the Secretary will consider the following factors:
 - (a) The qualifications, including training and experience, of the project director or principal investigator.
 - (b) The qualifications, including training and experience, of key project personnel.
 - (c) The qualifications, including training and experience, of proposed consultants or subcontractors.

(3) *National Significance.* (10)

- (i) The Secretary considers the national significance of the proposed project.
- (ii) In determining the national significance of a proposed project, the Secretary will consider the following factors:
 - (a) The nature of the products (such as information, materials, processes, or techniques) likely to result from the project and the potential for their effective use in a variety of other settings.
 - (b) The extent and quality of plans for disseminating results in ways that will allow others to use the information.

(4) *Adequacy of resources.* (10)

- (i) The Secretary considers the adequacy of resources for the proposed project.
- (ii) In determining the adequacy of resources for the proposed project, the Secretary will consider the following factors:
 - (a) Whether the budget is adequate to support the project.
 - (b) The relevance and commitment of each partner in the project to the implementation and success of the project.
 - (c) Whether the costs are reasonable in relation to the objectives, design, and potential significance of the project.

(5) *Quality of the management plan.* (5)

- (i) The Secretary considers the quality of the management plan of the proposed project.
- (ii) In determining the quality of the management plan of a proposed project, the Secretary will consider the following factors:
 - (a) The adequacy of the management plan to achieve the objectives of the project, including the specification of staff responsibility, timeliness, and benchmarks for accomplishing project tasks.
 - (b) Whether time commitments of the project director or principal investigator and other key personnel are appropriate and adequate to meet project objectives.
 - (c) The adequacy of plans for widespread dissemination of project results and products in ways that will assist others to use the information.

PART III - APPLICATION NARRATIVE

Before preparing the Application Narrative, read carefully the Purpose of the Program, the Invitational Priorities of the Program, and the Evaluation Criteria the Department of Education uses to evaluate applications. The Panelists who will review the applications and make funding recommendations to the Secretary will rate each application based on how well a proposed project fits the program description and how well the project description meets the evaluation criteria.

To facilitate fair consideration of the merits of all applications, you are encouraged to organize the application narrative as follows:

1. Begin with an Abstract -- a short (500 words or less) summary of the proposed project which describes:
 - (i) the rationale for undertaking the project;
 - (ii) the design of the project and the analysis approach(s) being proposed;
 - (iii) the project's significance/intended outcomes.
2. Describe the proposed project in light of each of the evaluation criteria in the order in which they are listed in the application package; and,
3. Include any other pertinent information that might be useful in determining the merits the application.

The Application Narrative ***must not*** exceed 60 double-spaced, typed pages (**USE ONE SIDE OF THE PAGE ONLY**) and it *should not* be bound. You are encouraged to provide resumes of key personnel as an appendix to the narrative.

**IMPORTANT NOTICE
TO PROSPECTIVE PARTICIPANTS
IN U.S. DEPARTMENT OF EDUCATION
CONTRACT AND GRANT PROGRAMS**

GRANTS

Applicants for grants from the U.S. Department of Education (ED) have to compete for limited funds.

Deadlines assure all applicants that they will be treated fairly and equally, without last minute haste.

For these reasons, ED must set strict deadlines for grant applications. Prospective applicants can avoid disappointment if they understand that.

Failure to meet a deadline will mean that an applicant will be
Rejected without any consideration whatever.

The rules, including the deadline, for applying for each grant are published, individually, in the Federal Register. A one-year subscription to the Register may be obtained by sending \$340.00 to: Superintendent of Documents, U.S. Government Printing Office, Washington, D.C. 20402-9371. (Send check or money order only, no cash or stamps.)

The instructions in the Federal Register must be followed exactly. Do not accept any other advice you may receive. No ED employee is authorized to extend any deadline published in the Register.

Questions regarding submission of applications may be addressed to:

U.S. Department of Education
Application Control Center
Washington, D.C. 20202-4725

CONTRACTS

Competitive procurement actions undertaken by the ED are governed by the Federal Procurement Regulation and implementing ED Procurement Regulation.

Generally, prospective competitive procurement actions are synopsized in the Commerce Business Daily (CBD). Prospective offerors are therein advised of the nature of the procurement and where to apply for copies of the Request for Proposals (RFP).

Offerors are advised to be guided solely by the contents of the CBD synopsis and the instructions contained in the RFP. Questions regarding the submission of offers should be addressed to the Contracts Specialist identified on the face page of the RFP.

Offers are judged in competition with others, and failure to conform with any substantive requirements of the RFP will result in rejection of the offer without any consideration whatever.

Do not accept any advice you receive that is contrary to instructions contained in either the CBD synopsis or the RFP. No ED employee is authorized to consider a proposal which is non-responsive to the RFP.

A subscription to the CBD is available for \$208.00 per year via second class mailing or \$261.00 per year via first class mailing. Information included in the Federal Acquisition Regulation is contained in Title 48, Code of Federal Regulations, Chapter 1 (\$49.00). The foregoing publication may be obtained by sending your check or money order only, no cash or stamps, to:

Superintendent of Documents
U.S. Government Printing Office
Washington, D.C. 20402-9371

In an effort to be certain this important information is widely disseminated, this notice is being included in all ED mail to the public. You may therefore, receive more than one notice. If you do, we apologize for any annoyance it may cause you.

ED FORM 5348, 8/92
REPLACES ED FORM 5348, 6/86 WHICH IS OBSOLETE